



**COUNTY OF LOS ANGELES
DEPARTMENT OF AUDITOR-CONTROLLER**

KENNETH HAHN HALL OF ADMINISTRATION
500 WEST TEMPLE STREET, ROOM 525
LOS ANGELES, CALIFORNIA 90012-2766
PHONE: (213) 974-8301 FAX: (213) 626-5427

J. TYLER McCAULEY
AUDITOR-CONTROLLER

November 15, 2006

TO: Mayor Michael D. Antonovich
Supervisor Gloria Molina
Supervisor Yvonne B. Burke
Supervisor Zev Yaroslavsky
Supervisor Don Knabe

FROM: J. Tyler McCauley *JTM*
Auditor-Controller

SUBJECT: **CARSON/LOMITA/TORRANCE WORKFORCE INVESTMENT
NETWORK CONTRACT - WORKFORCE INVESTMENT ACT
PROGRAMS**

We have conducted a program, fiscal and administrative contract review of the City of Torrance – Administrative Entity for the Carson Lomita Torrance Workforce Investment Network (CLT WIN or Agency), a Workforce Investment Act (WIA) service provider.

Background

The Department of Community and Senior Services (DCSS) contracts with CLT WIN, to provide and operate the WIA Adult and Dislocated Worker Programs. The WIA Adult and Dislocated Worker Programs assist individuals obtain employment, retain their jobs and increase their earnings. CLT WIN's offices are located in the Second and Fourth Districts.

CLT WIN is compensated on a cost reimbursement basis. CLT WIN's contract was for \$70,449 for Fiscal Year 2005-2006.

Purpose/Methodology

The purpose of the review was to determine whether CLT WIN complied with its contract terms and appropriately accounted for and spent WIA funds in providing services to eligible participants. We also evaluated the adequacy of the Agency's accounting records, internal controls and compliance with federal, State, and County guidelines.

"To Enrich Lives Through Effective and Caring Service"

Results of Review

The program participants sampled met the eligibility requirements for the WIA Adult and Dislocated Worker Programs. In addition, CLT WIN's expenses were allowable, accurately billed to DCSS and supported by documentation as required.

CLT WIN did not accurately report the participants' program activities on the Job Training Automation (JTA) system for three (27%) of the 11 participants as required by the County contract. The JTA system is used by the State of California Employment Development Department and the Department of Labor to track WIA participant activities. CLT WIN also did not allocate their lease costs in accordance with their cost allocation plan. The Agency's facilities lease costs should be allocated to various programs based on total payroll hours charged to each program.

Details of our review, along with recommendations for corrective action, are attached.

Review of Report

We discussed our report with CLT WIN on August 17, 2006. At the meeting, CLT WIN disagreed with several of our findings. We provided them with copies of the County contract provisions and other documentation (e.g., program directives) that supported our conclusions and recommendations. In their attached response, CLT WIN continued to disagree with several of our findings citing the same issues discussed at our August meeting. We notified DCSS of the results of our review. DCSS will work with the Agency to ensure the Agency understands the contract requirements.

We thank CLT WIN for their cooperation and assistance during this review. Please call me if you have any questions, or your staff may contact Don Chadwick at (626) 293-1102.

JTM:MMO:DC

Attachment

- c: David E. Janssen, Chief Administrative Officer
Cynthia Banks, Director, Department of Community and Senior Services
Patricia D. Unangst, Workforce Development Division Manager, City of Torrance –
Administrative Entity for the Carson Lomita Torrance Workforce Investment
Network
Public Information Office
Audit Committee

**WORKFORCE INVESTMENT ACT PROGRAM
CARSON LOMITA TORRANCE WORKFORCE INVESTMENT NETWORK
FISCAL YEAR 2005-06**

ELIGIBILITY

Objective

Determine whether the City of Torrance – Administrative Entity for the Carson Lomita Torrance Workforce Investment Network (CLT WIN or Agency) provided services to individuals that meet the eligibility requirements of the Workforce Investment Act (WIA).

Verification

We reviewed the case files for all 11 program participants (4 from the Adult Program and 7 from the Dislocated Worker Program) that received services from July through December 2005 for documentation to confirm their eligibility for WIA services.

Results

All 11 program participants met the eligibility requirements for the WIA Adult and Dislocated Worker Programs.

Recommendation

There are no recommendations for this section.

BILLED SERVICES/CLIENT VERIFICATION

Objective

Determine whether CLT WIN provided the services in accordance with the County contract and WIA guidelines. In addition, determine whether the program participants received the billed services.

Verification

We reviewed the documentation contained in the case files for all 11 program participants that received services during July through December 2005. We also interviewed four program participants to confirm the services CLT WIN billed to DCSS were provided.

Results

The four program participants interviewed stated that the services they received met their expectations. However, CLT WIN did not discuss with one (9%) of the 11 participants the long-term goals and/or employment goals identified in the Individual Employment Plan (IEP) during the monthly meetings. CLT WIN also did not accurately report the participants' program activities on the Job Training Automation (JTA) system for three (27%) of the 11 participants. The JTA system is used by the State of California Employment Development Department and the Department of Labor to track WIA participant activities.

Recommendations**CLT WIN management:**

1. Ensure that staff discuss the long-term and/or employment goals with the participants during their monthly meetings and document their review of the IEPs with the clients.
2. Ensure that staff accurately report the participants' program activities on the JTA system.

CASH/REVENUE**Objective**

Determine whether cash receipts and revenues are properly recorded in the Agency's records and deposited timely in their bank account. Determine whether there are adequate controls over cash, petty cash and other liquid assets.

Verification

We interviewed Agency personnel and reviewed financial records.

Results

CLT WIN maintained adequate controls to ensure that revenue was properly recorded and deposited in a timely manner.

Recommendation

There are no recommendations for this section.

EXPENDITURES/PROCUREMENT**Objective**

Determine whether program related expenditures are allowable under the County contract, properly documented, and accurately billed.

Verification

We interviewed Agency personnel, reviewed financial records, and reviewed documentation to support all four non-payroll expenditure transactions billed by the Agency for October 2005, totaling \$2,810.

Results

CLT WIN's expenses were allowable, properly documented and accurately billed to DCSS as required.

Recommendation

There are no recommendations for this section.

INTERNAL CONTROLS/CONTRACT COMPLIANCE**Objective**

Determine whether the contractor maintained sufficient internal controls over its business operations. In addition, determine whether the Agency is in compliance with other program and administrative requirements.

Verification

We interviewed Agency personnel, reviewed their policies and procedures manuals, conducted an on-site visit, and tested transactions in areas such as expenditures, payroll and personnel.

Results

Generally, CLT WIN maintained adequate internal controls over its business operations. However, CLT WIN did not comply with all County contract requirements. Specifically:

- CLT WIN did not indicate on press releases and statements to the public that the program was funded by a federal or State grant administered by the County of Los Angeles. This was also noted in the prior year's monitoring report completed by a CPA firm.

- CLT WIN did not have a record retention policy. According to Agency personnel, records are retained for four years after the contract closeout. However, the County contract requires that all accounting records must be retained for a minimum of five years after the termination of the contractor's agreement.
- CLT WIN's procurement policy requires only two price quotes for purchases over \$1,000. WIA guidelines require three price quotes for purchases over \$1,000.

Recommendations

CLT WIN management:

3. Ensure that press releases and statements to the public indicate that the program was funded by federal or State grants administered by the County of Los Angeles.
4. Ensure that the Agency's record retention policy is in compliance with the County contract.
5. Ensure that the Agency's procurement policies and procedures are in compliance with WIA guidelines.

FIXED ASSETS AND EQUIPMENT

Objective

Determine whether CLT WIN's fixed assets and equipment purchases made with WIA funds are used for the WIA program and are safeguarded.

We did not perform test work in this section, as CLT WIN did not use WIA funds to purchase fixed assets or equipment.

PAYROLL AND PERSONNEL

Objective

Determine whether payroll is appropriately charged to the WIA program. In addition, determine whether personnel files are maintained as required.

Verification

We traced and agreed the payroll expenses for four employees totaling approximately \$1,490 to the payroll records and time reports for October 2005. We also interviewed one staff assigned to the WIA program.

Results

CLT WIN appropriately charged payroll expenses to the WIA program. However, CLT WIN refused to provide the personnel files requested. As a result, we could not perform the personnel file testwork. Specifically, we could not determine whether Agency staff performed a criminal record clearance, validated qualifications and citizenship, or maintained copies of valid driver's license or insurance, etc. The prior year's monitoring report also noted that the Agency did not allow the auditors to review the agency's personnel files. According to Agency management, personnel files are strictly kept confidential and as such, would not provide the requested personnel files for review. However, the County contract requires contractors to provide all program related records, reports, participant files, and other documentation requested by the County, available for inspection and audit by any federal, State or County agency upon request, for three years from the termination date of this contract.

Recommendation

6. CLT WIN management provide the County with documentation to validate personnel information.

COST ALLOCATION PLAN**Objective**

Determine whether CLT WIN's Cost Allocation Plan (plan) was prepared in compliance with the County contract and applied to program costs.

Verification

We reviewed the Cost Allocation Plan and reviewed a sample of expenditures incurred by the Agency in October 2005 to ensure that the expenditures were properly allocated to the Agency's programs.

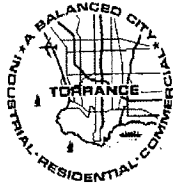
Results

CLT WIN did not allocate their lease costs in accordance with the plan. The facilities lease costs were to be allocated to various programs based on the total payroll hours charged to the program. However, CLT WIN allocated the facilities lease costs based on budgeted amounts.

Recommendations

CLT WIN management:

- 7. Ensure that the Cost Allocation Plan is properly applied to program costs as required.**
- 8. Review Fiscal Year 2005-06 allocations and repay DCSS for any over-billing as a result of incorrectly allocating the facilities lease costs.**



CITY OF TORRANCE

HUMAN RESOURCES DEPARTMENT

ELAINE M. WINER
HUMAN RESOURCES
DIRECTOR
(310) 618-2960

LEYTA O. FUENTES
HUMAN RESOURCES
ADMINISTRATOR
(310) 618-2960

RANDALL SELLERS
RISK MANAGER
(310) 618-2950

PATRICIA D. UNANGST
WORKFORCE DEVELOPMENT DIVISION
WORKFORCE DEVELOPMENT MANAGER
(310) 518-8100

October 10, 2006

J. Tyler McCauley, Auditor-Controller
County of Los Angeles
Department of Auditor-Controller
Countywide Contract Monitoring Division
1000 S. Fremont Avenue, Suite #51
Alhambra, CA 91803

Subject: Carson/Lomita/Torrance Workforce Investment Network Contract
Workforce Investment Act Programs

The County of Los Angeles Department of Auditor-Controller conducted a program, fiscal and administrative contract review of the City of Torrance – Administrative Entity for the Carson/Lomita/Torrance Workforce Investment Network (CLT WiN) on January 31, 2006 through Thursday, February 2, 2006 for the program year 2005-2006.

As a result of the monitoring visit, a draft report was issued, July 28, 2006, which outlined the results and recommendations. Subsequently, an Exit Conference was scheduled for August 17, 2006 at which time CLT WiN staff and Auditor Controller staff reviewed and discussed the draft report's results and recommendations. Since that time, CLT WiN received requests for additional information regarding personnel and a Revised Final Draft Report—Request for Revised Response was issued on September 27, 2006.

Please find below CLT WiN's response to the recommendations outlined in the Final Draft Report issued on August 28, 2006 and the Revised Final Draft Report—Request for Revised Response issued on September 27, 2006. The responses address the recommendations and should resolve any outstanding issues.

ELIGIBILITY

Results

All 11 program participants met the eligibility requirements for the WIA Adult and Dislocated Worker Programs.

Recommendation

There are no recommendations for this section.

C/L/T RESPONSE NOT REQUIRED

BILLED SERVICES/CLIENT VERIFICATION

Results

The four program participants interviewed stated that the services they received met their expectations. However, CLT WIN did not discuss with one (9%) of the 11 participants the long-term goals and/or employment goals identified in the Individual Employment Plan (IEP) during the monthly meetings. CLT WIN also did not accurately report the participants' program activities on the Job Training Automation (JTA) system for three (27%) of the 11 participants. The JTA system is used by the State of California Employment Development Department and the Department of Labor to track WIA participant activities.

Recommendations

CLT WIN management:

- 2. *Ensure that staff discuss the long-term and/or employment goals with the participants during their monthly meetings and document their review of the IEPs with the clients.***
- 3. *Ensure that staff accurately report the participants' program activities on the JTA system.***

C/L/T RESPONSE

- 2. *Ensure that staff discuss the long-term and/or employment goals with the participants during their monthly meetings and document their review of the IEPs with the clients.***

CLT WIN staff is required to discuss participants long term goals and employment related goals as part of their participation in the WIA program. We are certain these discussions occur and have reiterated to staff the importance of documenting these discussions in the participant file narrative as well as on the IEP. CLT WIN staff is reviewing the IEP form to ensure that employment and long term goals are clearly reflected on the form. If these areas are not reflected on the IEP form, the IEP will be updated accordingly.

- 3. *Ensure that staff accurately report the participants' program activities on the JTA system.***

CLT WIN staff changes occurred just prior to the monitoring visit in January 2006. Since that time, JTA data entry has also been changed. In March 2006, the State provided training to CLT WIN program staff. As a result, the information reported in the JTA system more accurately represents the participants' program activities.

CASH/REVENUE

Results

CLT WIN maintained adequate controls to ensure that revenue was properly recorded and deposited in a timely manner.

Recommendation

There are no recommendations for this section.

C/L/T RESPONSE NOT REQUIRED

EXPENDITURES/PROCUREMENT

Results

CLT WIN's expenses were allowable, accurately billed to DCSS and supported by documentation as required.

Recommendation

There are no recommendations for this section.

C/L/T RESPONSE NOT REQUIRED

INTERNAL CONTROLS/CONTRACT COMPLIANCE

Results

Generally, CLT WIN maintained adequate internal controls over its business operations. However, CLT WIN did not comply with all County contract requirements. Specifically:

- *CLT WIN did not indicate on press releases and statements to the public that the program was funded by a federal or State grant administered by the County of Los Angeles as required. This was also noted in the prior year's monitoring report completed by a CPA firm.*
- *CLT WIN did not have a record retention policy in compliance with County contract requirements. According to Agency personnel, records are retained for four years after the contract closeout. However, the County contract requires that all accounting records must be retained for a minimum of five years after the termination of the contractor's agreement.*
- *CLT WIN's procurement policy requires only two price quotes for purchases over \$1,000. However, WIA guidelines require three price quotes for purchases over \$1,000.*

Recommendations

CLT WIN management:

4. *Ensure that press releases and statements to the public indicate that the program was funded by federal or State grants administered by the County of Los Angeles.*
5. *Ensure that the Agency's record retention policy is in compliance with the County contract.*
6. *Ensure that the Agency's procurement policies and procedures are in compliance with WIA guidelines.*

C/L/T RESPONSE

- 4. *Ensure that press releases and statements to the public indicate that the program was funded by federal or State grants administered by the County of Los Angeles.***

During the August 17th Exit Conference, the issue of press releases and statements to the public indicating funding by the County of Los Angeles was discussed in detail. Auditor Controller staff recommended that CLT WiN management staff request a meeting with Los Angeles County Department of Community and Senior Services (DCSS) staff to discuss this issue, come to some resolution and request a waiver in writing. Until such time as a meeting is scheduled and the issue is resolved, this issue remains open. In response to this on-going issue, CLT WiN staff continues to respond as it has in previous monitoring visits:

CLT's previous response on October 17, 2005, "We (CLT) do not issue press releases or brochures for this or any others because of overall funding limitations. Therefore, the requirement does not apply" still applies.

Furthermore, we responded to this issue as a result of our 2003-04 monitoring on August 30, 2004 and again on September 15, 2005 with the following statement:

"The C/L/T WiN (operated by the City of Torrance) was the first consortium to adopt the WorkSource logo. This is the official seal adopted by the Board of Supervisors to signify all County programs that utilize the WIA funds in question. All materials, signage, ads, etc. carry this logo. Therefore, we believe this more than satisfies the contractual requirement."

- 5. *Ensure that the Agency's record retention policy is in compliance with the County contract.***

CLT WiN's record retention policy is in compliance with the County contract. Records will be retained for a minimum of five (5) years after the termination of the contract.

- 6. *Ensure that the Agency's procurement policies and procedures are in compliance with WIA guidelines.***

Although CLT WiN's procurement policies and procedures stated that it only required two (2) price quotes for purchases over \$1,000, CLT WiN staff have consistently secured three (3) price quotes. CLT WiN's procurement policies and procedures have been updated to reflect the accurate practice. CLT WiN staff procurement policies and procedures are in compliance with WIA guidelines.

FIXED ASSETS AND EQUIPMENT

We did not perform test work in this section, as CLT WIN did not use WIA funds to purchase fixed assets or equipment.

PAYROLL AND PERSONNEL

Results

CLT WIN appropriately charged payroll expenses to the WIA program. However, CLT WIN refused to provide the personnel files requested. As a result, we could not perform the personnel file testwork. Specifically, we could not determine whether Agency staff performed a criminal record clearance, validated qualifications and citizenship, or maintained copies of valid driver's license or insurance, etc. The prior year's monitoring report also noted that the Agency did not

allow the auditors to review the agency's personnel files. According to Agency management, personnel files are strictly kept confidential and as such, would not provide the requested personnel files for review. However, the County contract requires contractors to provide all program related records, reports, participant files, and other documentation requested by the County, available for inspection and audit by any federal, State or County agency upon request, for three years from the termination date of this contract.

Recommendation

7. ***CLT WIN management provide the County with documentation to validate personnel information.***

C/LT RESPONSE

7. In addition to what was stated in the written report, specific requests were made verbally by the Auditor on Friday, September 22, 2006 and followed up in an e-mail on Monday, September 25, 2006. This request is as follows:

As discussed with Patricia Unangst on Friday, September 22nd, we need to review the personnel files for the following employees:

- *Tautala Afuafi (correct spelling Tautalafua)*
- *Matthew Brooks (correct spelling Brookes)*
- *Cheryl Jones*
- *Marilyn Yokoyama (correct spelling Yokoyama)*
- *Jones Barthe (missing first name Eleanor Barthe Jones)*

Section B, Part 3.2 of the Auditor-Controller Contract Accounting and Administrative Handbook indicates that "Personnel and payroll records should include (but not limited to) the following:

- *Employee's authorized salary rate*
- *Employee information sheet*
- *Resume and/or application*
- *Proof of qualification for the position, if required (e.g. notarized copy of original diploma, license, etc.)*
- *Performance Evaluations*
- *Criminal Record Clearance*
- *Citizenship Status*
- *Benefits balances (e.g. sick time, vacation, etc.)*

We would like to see all the listed items in addition to the:

- *Driver's License*
- *Proof of car insurance*
- *Job description/specification*

According to the County contract, under Standard Terms and Condition,

"The contractor shall make any and all Program related records, participant files, and other documentation and physical evidence, in addition to documents required by this contract, as may reasonably be requested by the County, available for inspection and audit by any federal, State or County agency upon request, for three years from the termination date of this contract.

In our review of the contract, CLT WIN has noted that the request made citing Section B, Part 3.2 of the Auditor-Controller Contract Accounting and Administrative Handbook, excluded the first sentence in this section, which states:

"Adequate security must be maintained over personnel and payroll records with access restricted to authorized individuals."

CLT WIN adheres to the policies and procedures set forth by the City of Torrance. The City of Torrance Personnel Records and Files Policy states:

"Personnel files are the property of the City of Torrance; access to the information they contain is restricted. The Human Resources Department is the custodian of the personnel file for each employee....
Under the law, employees may review records that pertain to employment discipline, promotion, or pay."

The section referenced, in the e-mail, from the County contract, under Standard Terms and Conditions is found under section 800 Audits, Reports, Records and Documentation, specifically section 802 Records. This section is clearly specific to "program related records", not personnel files. Upon further review of the contract, under section 200 Assurances/Certifications, specifically section 219 Administrative and Personnel Procedures, the contract states:

"Contractor warrants that it has adopted, shall retain, and make available upon request from the County, the following documents and amendments thereto: (b) Contractor personnel policy, which incorporates due process protection of standard personnel procedures, which the Contractor agrees to abide by in the performance of this contract."

Attached please find a copy of the City of Torrance Personnel Records and Files Policy.

In conclusion, CLT WIN reiterates what we stated in our October 17, 2005 response to our Los Angeles County 04-05 on-site review, we stated:

"The City of Torrance, Administrative Entity for the CLT Workforce Board maintains a policy regarding confidentiality of personnel files. There are other ways salaries can be verified. One way is to view the Personnel Action Forms initiated by the Workforce Development Division in the City of Torrance Human Resources Department. Those forms are kept in the Carson offices and are available for the auditor's review. To date, no one has come to view the forms."

CLT WIN is willing to provide information to resolve this issue and believes that by reviewing the Personnel Action Forms, the LA County auditors will be able to determine whether CLT WIN's payroll is appropriately charged to the WIA program. A review of the Personnel Records and File Policy will assist LA County auditors in determining whether personnel files are maintained as required. In addition, CLT WIN, on advice of our legal counsel, is willing to sign a declaration under penalty of perjury that the City of Torrance is in compliance with all the requirements of the contract, specifically that personnel files are maintained as required.

COST ALLOCATION PLAN

Results

CLT WIN's plan was prepared in compliance with the County contract. However, CLT WIN did not allocate their lease costs in accordance with the plan. The facilities lease costs were to be allocated to various programs based on the total payroll hours charged to the program. However, CLT WIN allocated the facilities lease costs based on budgeted amounts.

Recommendations

CLT WIN management:

8. *Ensure that the Cost Allocation Plan is properly applied to program costs as required.*
9. *Review Fiscal Year 2005-06 allocations and repay DCSS for any over-billing as a result of incorrectly allocating the facilities lease costs.*

C/LT RESPONSE

8. *Ensure that the Cost Allocation Plan is properly applied to program costs as required.*

It is CLT WiN's policy to apply the cost allocation plan to all costs incurred by CLT WiN. Since the monitoring visit in January 2006, there have been additional staff changes and with those changes, CLT WiN is analyzing fiscal information submitted to ensure that the costs are aligned to the cost allocation plan.

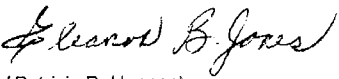
9. *Review Fiscal Year 2005-06 allocations and repay DCSS for any over-billing as a result of incorrectly allocating the facilities lease costs.*

Upon completion of the analysis mentioned in #8, CLT WiN will determine whether repayment to DCSS is necessary.

SUMMARY

We consider that these responses have addressed the County of Los Angeles Department of Auditor-Controller's recommendations. If there are any questions regarding this letter, please contact Carla Anguiano at (310) 518-8145 or canguiano@torrnet.com. Thank you for your assistance.

Sincerely,


for Patricia D. Unangst
Workforce Development Division Manager
City of Torrance

Cc: Maggie Mireles, County of Los Angeles DCSS

Attachment: City of Torrance Personnel Records and Files Policy

Contents

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Personnel Records and Files

Policy Chapter 41

Chapter **41**

Personnel Records and Files Policy

The City of Torrance shall have a uniform policy and procedure for the request to view personnel records. Under the law, a city employee may review his/her personnel records that pertain to employment, discipline, promotion, or pay.

Article

41.05 Authorization

Personnel files are the property of the City of Torrance; access to the information they contain is restricted. The Human Resources Department is the custodian of the personnel file for each employee. The retention of personnel files shall be in accordance with the Records Retention Schedule for the Human Resources Department. Under the law, employees may review records that pertain to employment, discipline, promotion, or pay.

41.10 Contents of Personnel Files

Personnel files contain any (or all) of the following:

1. Employment applications
2. Employee registration documents
3. Form I-9 (Required by Immigration & Naturalization Service)
4. Performance Evaluations and related documents including but not limited to
 - Findings of Performance Evaluation Appeals
5. Written Confirmation of Employment Actions (Personnel Action Forms PAF's) including but not limited to
 - Salary Information
 - Reclassifications
 - Transfers
 - Promotions
6. Disciplinary Documentation including but not limited to
 - Written reprimands
 - Letters of charges recommending suspension, demotion or discharge

Personnel Records and Files

**Policy
Chapter 41**

- Letters of findings
- Actions of the Civil Service Commission
- 7. Written responses of employees regarding performance or disciplinary documentation (submitted by supervisor)
- 8. Personal Data including:
 - Marital status
 - Family member contact
 - Address and phone number
 - Emergency information
- 9. Educational history
- 10. Employment history
- 11. Applicable tax documents
- 12. Notices of recognition
- 13. Benefit information
 - Beneficiary designations
 - Written verification of disability benefits
 - Authorizations for deductions or withholding of pay
- 14. Leave records (including attendance records)
- 15. Separation documentation
 - Exit interview information
 - Designation of benefits (sick leave, vacation, deferred comp.)
 - Insurance continuation forms
- 16. Retirement Records
- 17. Other records relating to the employment history with the City.

Personnel Records and Files

**Procedure
Chapter 141**

Chapter
141 Personnel Records and Files Procedures

The following rules and procedures shall provide a uniform method for:

1. The placement of information into an employee's personnel file; and
2. The request for access to review an employee's personnel file.

Article
141.05 Department/Supervisor's Responsibilities

A department must submit all documents listed in the section "Contents of Personnel Files" to the Human Resources Department in order to keep complete and up to date personnel files.

141.10 Employee Review of Personnel File

An employee may request a review of his/her personnel file under the following conditions:

1. The employee must obtain from the Human Resources Department a Request to Review Personnel Records form and submit the completed form to the Human Resources Department.
2. The review of the personnel file will occur only during normal business hours upon scheduling an appointment with the Human Resources Department.
3. A staff member of the Human Resources Department will monitor the review of the personnel file by an employee.
4. A representative may review the personnel file when written authorization is provided to the Human Resources Department on the Request to Review Personnel Records form submitted by the employee.
5. An employee may obtain copies of documents in the personnel file by requesting them. Prior to obtaining the copies, they must be paid for at the City Treasurer's office and the employee must submit the receipt to the Human Resources Department .

Personnel Records and Files

Procedure
Chapter 141

REQUEST TO REVIEW or COPY PERSONNEL RECORDS

Name: _____ Date: _____

Under the law, you may review records that pertain to employment, discipline, promotion, or pay. If you wish to see your personnel file, please complete this form and we will make the material available for your review (normally within two working days).

If you need copies of records, they may be obtained from the Human Resources Department at the prevailing rate. Payment must be made at the City Treasurer's Office in advance, and time must be allowed for copying to be completed.

The reason for which I need to review my personnel file is (a disciplinary incident, promotion, or pay record, etc.):

Please check the following, if applicable:

- ☐ I request to expedite the review of my personnel records due to:
- ☐ A hearing/grievance scheduled on _____
- ☐ Other (explain) _____

- ☐ I request that my representative review my personnel records on my behalf.

Representative's Name _____

- ☐ I request photocopies of my records.

Employee Signature _____

Date _____

Human Resources Department Use Only

Request approved by: _____ Date _____

Records reviewed on: _____ in presence of _____